

COPY OF PAPERS
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MP \$

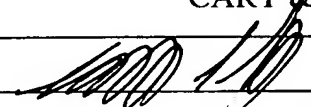
PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031

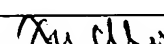
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

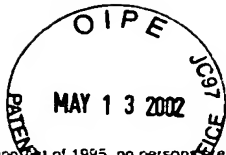
| | | |
|--|--|------------------------|
| TRANSMITTAL FORM <small>(to be used for all correspondence after initial filing)</small> | Application Number | 10/071,536 |
| | Filing Date | Feb 8, 2002 |
| | First Named Inventor | Sam HEIDARI |
| | Group Art Unit | 2631 |
| | Examiner Name | N/A |
| | Total Number of Pages in This Submission | Attorney Docket Number |

| ENCLOSURES (check all that apply) | | |
|--|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers # (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition # <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input checked="" type="checkbox"/> Return Receipt Postcard | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1-Check for \$65.00 <i>4@3 pages</i> 2-Executed Declarations <i>~ 12 sheets</i> 3-Request for corrected filing receipt 4-Copy of Official filing receipt with red-lined correction |
| Remarks | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | | |
|--|---|--------------------------------|
| Firm or Individual name | CARY & KELLY, LLP | |
| Signature |  | Charles C. Cary Reg. #: 36,764 |
| Date | May 1, 2002 | |

| CERTIFICATE OF MAILING | | |
|--|---|------------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: May 1, 2002 | | |
| Typed or printed name | Susan W. Xu | |
| Signature |  | Date May 1, 2002 |

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PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

65

Complete if Known

| | |
|----------------------|-------------|
| Application Number | 10/071,536 |
| Filing Date | Feb 8, 2002 |
| First Named Inventor | Sam HEIDARI |
| Examiner Name | N/A |
| Group Art Unit | 2631 |
| Attorney Docket No. | VELCP025 |

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 50-1338
- Deposit Account Name: CARY & KELLY, LLP
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

| 1. BASIC FILING FEE | | | | | |
|---------------------|----------|--------------|----------|------------------------|-------------|
| Large Entity | | Small Entity | | Fee Description | Fee Paid |
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 101 | 740 | 201 | 370 | Utility filing fee | <div></div> |
| 106 | 330 | 206 | 165 | Design filing fee | <div></div> |
| 107 | 510 | 207 | 255 | Plant filing fee | <div></div> |
| 108 | 740 | 208 | 370 | Reissue filing fee | <div></div> |
| 114 | 160 | 214 | 80 | Provisional filing fee | <div></div> |
| SUBTOTAL (1) | | | | | (\$) 0 |

| 2. EXTRA CLAIM FEES | | | | | |
|---------------------|---|--------------|-----|----------------|------------|
| | | Extra Claims | | Fee from below | Fee Paid |
| Total Claims | 0 | -20 = | -20 | X | \$18 = \$0 |
| Independent Claims | 0 | -3 = | -3 | X | \$84 = \$0 |
| Multiple Dependent | | | | | |

| Large Entity Fee Code (\$) | | Small Entity Fee Code (\$) | | Fee Description |
|----------------------------|----------|----------------------------|----------|---|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 | Multiple dependent claim, if not paid |
| 109 | 84 | 209 | 42 | ** Reissue independent claims over original patent: |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent: |

SUBTOTAL (2) (\$)

0

*br number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

| 3. ADDITIONAL FEES | | | | |
|----------------------------|----------------------------|--|----------|--|
| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid | |
| 105 130 | 205 65 | Surcharge - late filing fee or oath | \$65 | |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | \$0 | |
| 139 130 | 139 130 | Non-English specification | \$0 | |
| 147 2,520 | 147 2,520 | For filing a request for <i>ex parte</i> reexamination | \$0 | |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | \$0 | |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | \$0 | |
| 115 110 | 215 55 | Extension for reply within first month | \$0 | |
| 116 400 | 216 200 | Extension for reply within second month | \$0 | |
| 117 920 | 217 460 | Extension for reply within third month | \$0 | |
| 118 1,440 | 218 720 | Extension for reply within fourth month | \$0 | |
| 128 1,960 | 228 980 | Extension for reply within fifth month | \$0 | |
| 119 320 | 219 160 | Notice of Appeal | \$0 | |
| 120 320 | 220 160 | Filing a brief in support of an appeal | \$0 | |
| 121 280 | 221 140 | Request for oral hearing | \$0 | |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | \$0 | |
| 140 110 | 240 55 | Petition to revive - unavoidable | \$0 | |
| 141 1,280 | 241 640 | Petition to revive - unintentional | \$0 | |
| 142 1,280 | 242 640 | Utility issue fee (or reissue) | \$0 | |
| 143 460 | 243 230 | Design issue fee | \$0 | |
| 144 620 | 244 310 | Plant issue fee | \$0 | |
| 122 130 | 122 130 | Petitions to the Commissioner | \$0 | |
| 123 50 | 123 50 | Petitions related to provisional applications | \$0 | |
| 126 180 | 126 180 | Submission of Information Disclosure Stmt | \$0 | |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | \$0 | |
| 146 740 | 246 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | \$0 | |
| 149 740 | 249 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | \$0 | |
| 179 740 | 279 370 | Request for Continued Examination (RCE) | \$0 | |
| 169 900 | 169 900 | Request for expedited examination of a design application | \$0 | |
| Other fee (specify) | | | \$0 | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

65

SUBMITTED BY

| | | | | | |
|-------------------|---|--------------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Charles C. Cary | Registration No. (Attorney/Agent) | 36,764 | Telephone | (650) 316-4011 |
| Signature |  | | | Date | May 1, 2002 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/071,536 | 02/08/2002 | Sam Heidari | VELCP025 |

CONFIRMATION NO 41324

FORMALITIES LETTER



OC000000007601051

28436
CARY & KELLY, LLP
1875 CHARLESTON ROAD
MOUNTAIN VIEW, CA 94043

Date Mailed: 03/07/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

Ayide Gorton

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/15/2002 AWONDAF1 00000052 10071536

01 FC:205

65.00 OP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Sam HEIDARI et al.

Attorney Docket No.: VELCP025

Application No.: 10/071,536

Examiner: N/A

Filed: Feb. 8, 2002

Group: 2631

Title: METHOD AND APPARATUS FOR
INITIALIZING MODEM COMMUNICATIONS



CERTIFICATE FIRST CLASS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington, DC 20231.

Date: May 1, 2002

Signed: _____

Susan W. Xu

REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D. C. 20231

Sir:

The official filing receipt for the above referenced utility patent application was received in the office of the undersigned on March 13, 2002. We note that the name of the 7th inventor was incorrect.

Correction of this error to include the correct name **Fernando RAMIREZ-MIRELES** on all USPTO records and issuance of a corrected filing receipt is requested. The following is enclosed to assist with this request:

- Copy of the filing receipt dated March 7, 2002 with the correction noted in red.

Should there be any fee due in connection with the filing of this request, the Commissioner is hereby authorized to charge such fees to Deposit Account 50-1338 (Order No. VELCP025).

Thank you for your assistance in this matter. Do not hesitate to contact the undersigned as indicated below should you have any questions regarding this request.

Respectfully submitted,

Date: May 1, 2002

Signed: _____

Charles C. Cary
Registration No. 36,764

CARY & KELLY, LLP
1875 Charleston Road
Mountain View, CA 94043
Telephone: 650-316-4011
Fax: 650-316-4013



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 10/071,536 | 02/08/2002 | 2631 | 397 | VELCP025 | 9 | 23 | 3 |

CONFIRMATION NO. 1324

FILING RECEIPT



OC00000007601050

28436
CARY & KELLY, LLP
1875 CHARLESTON ROAD
MOUNTAIN VIEW, CA 94043



Date Mailed: 03/07/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Sam Heidari, Menlo Park, CA;
Mazen M. Shihabi, Irvine, CA;
Saman Behtash, Bergamo, ITALY;
Hojat Khelghati, San Jose, CA;
John Gevargiz, Manhattan Beach, CA;
Avadhani Sridhar, Santa Clara, CA;
~~Fernando Ramirez-Mireles~~, Walnut Creek, CA;
Fernando Ramirez-Mireles

Assignment For Published Patent Application

IKANOS COMMUNICATION, Inc., Fremont, CA;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/267,893 02/09/2001

Foreign Applications

If Required, Foreign Filing License Granted 03/06/2002

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

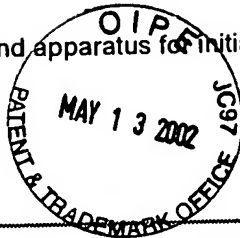
Early Publication Request: No

** SMALL ENTITY **

| | |
|----------------------|--------------------------------|
| — CARY & KELLY LLP — | |
| RECEIVED | By <u> </u> Loc <u> </u> |
| MAR 13 2002 | |

Title

Method and apparatus for initializing modem communications

COPY OF PAPERS
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375

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

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